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J1132 U.S. PTO

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Please type a plus sign (+) inside this box [+]

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 005822.P002  
(maximum 12 characters)

First Named Inventor Gerald Sangudi, et al.

Title: Method and Apparatus for Database Mapping of XML Objects into a Relational Database

Express Mail Label No. EL 431 887 944 US

ADDRESS TO: **Box Patent Application**  
**Commissioner for Patents**  
**Washington, D. C. 20231**

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original, and a duplicate for fee processing)
2.  **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.  **Specification (Total Pages 41 including ADS 10 pp.)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  **Drawings(s) (35 USC 113) (Total Sheets 18)**
5.  **Oath or Declaration (Total Pages 5)**
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i.  **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  **Application Data Sheet. (37 CFR 1.76)**
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & documents(s))  
10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)  
 b. Power of Attorney  
11.  English Translation Document (if applicable)  
12.  a. Information Disclosure Statement (IDS)/PTO-1449  
 b. Copies of IDS Citations  
13.  Preliminary Amendment  
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16.  Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  
17.  Other: Express Mail Certificate of Mailing

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation       Divisional       Continuation-in-part (CIP)  
Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority.  
For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that \_\_\_\_\_ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_ (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME Alan E. Heimlich

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1030

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-8383

Name (PRINT/TYPE): Alan E. Heimlich Registration No.: 48,808

Signature: Alan E. Heimlich Date: January 25, 2002

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**First Named Inventor Gerald Sangudi, et al.Title Method and Apparatus for Database Mapping of XML Objects into a Relational DatabaseAttorney Docket No. 005822.P002

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

January 25, 2002

Date



Signature

Alan Heimlich

Typed or Printed Name

48,808

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Commissioner for Patents, Washington, D.C. 20231

Express Mail Label: EL 431 887 944 US

**EEF TRANSMITTAL FOR FY 2002**

**TOTAL AMOUNT OF PAYMENT (\$)** **\$710.00**

**Complete if Known:**

Application No. Not yet assigned  
Filing Date Herewith (1/25/02)  
First Named Inventor Gerald Sangudi, et al.  
Group Art Unit Not yet assigned  
Examiner Name Not yet assigned  
Attorney Docket No. 005822.P002

**METHOD OF PAYMENT (check one)**

1. [ ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Deposit Account Number** 02-2666  
**Deposit Account Name** \_\_\_\_\_

X 1 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

[ X ] Applicant claims small entity status. See 37 CFR 1.27

2.   Payment Enclosed:   **Check**  
**Money Order**  
**Other**

## **FEE CALCULATION**

**1. BASIC FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
101	740	201	370	Utility application filing fee	\$370.00
106	330	206	165	Design application filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional application filing fee	
				<b>SUBTOTAL (1)</b>	<b>\$ 370.00</b>

**2 EXTRA CLAIM FEES**

2. <u>EXTRA CLAIM FEES</u>	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims <u>44</u>	$- 20^{**} = 24$	X <u>9.00</u>	= <u>216.00</u>
Independent Claims <u>5</u>	$- 3^{**} = 2$	X <u>42.00</u>	= <u>84.00</u>

## Multiple Dependent

**\*\*Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>	<u>Small Entity</u>			
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	<u>Fee Description</u>
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
				**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) \$ 300.00**

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
099	8,800	099	8,800
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
148	110	248	55
149	740	249	370
179	740	279	370
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,280	091	1,280
Other fee (specify)			
Other fee (specify)			
<b>SUBTOTAL (3) \$ 40.00</b>			

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Alan E. Heimlich

Signature: Alan E. Heimlich Date: January 25, 2002

Reg. Number: 48,808 Telephone Number: (408) 720-8300

Serial/Patent No.: Not yet assigned Filing/Issue Date: Herewith  
Client: Full Degree, Inc.  
Title: Method and Apparatus for Database Mapping of XML Objects into a Relational Database  
BSTZ File No.: 005822.P002 Atty/Secty Initials: AEH/den  
Date Mailed: January 25, 2002 Docket Due Date: \*\*\*  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:  
 Amendment/Response (\_\_\_\_ pgs.)  Express Mail No. EL431887944US  Check No. 41896  
 Appeal Brief (\_\_\_\_ pgs.) (in triplicate)  \_\_\_\_\_ Month(s) Extension of Time  Amt: \$670.00  
 Application - Utility (41 pgs., with cover and abstract)  Information Disclosure Statement & PTO-149 (4 pgs.)  Check No. 41891  
 Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)  Issue Fee Transmittal  Amt: \$40.00  
 Application - Rule 1.53(b) Divisional (\_\_\_\_ pgs.)  Notice of Appeal  
 Application - Rule 1.53(b) CIP (\_\_\_\_ pgs.)  Petition for Extension of Time  
 Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.)  Petition for \_\_\_\_\_  
 Application - Design (\_\_\_\_ pgs.)  Postcard  
 Application - PCT (\_\_\_\_ pgs.)  Power of Attorney (\_\_\_\_ pgs.)  
 Application - Provisional (\_\_\_\_ pgs.)  Preliminary Amendment (\_\_\_\_ pgs.)  
 Assignment and Cover Sheet (3 pgs.)  Reply Brief (\_\_\_\_ pgs.)  
 Certificate of Mailing **Express Mail**  Response to Notice of Missing Parts  
 Declaration & POA (5 pgs.) **Executed**  Small Entity Declaration for Indep. Inventor/Small Business  
 Disclosure Dcts & Org & Cpy of Inventor Signed Later (\_\_\_\_ pgs.)  Transmittal Letter, in duplicate  
 Drawings: 18 # of sheets includes 35 figures  Fee Transmittal, in duplicate  
 Other: Request and Certification Under 35 USC 122(b)(2)(B)(i); copy cited reference (1).

### EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 431 887 944 US

Date of Deposit: January 25, 2002

I hereby certify that I am causing this paper or fee, and the documents indicated on the postcard above, to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to: Box Patent Application, Commissioner for Patents, Washington, D. C. 20231

Dianne Neathery  
(Typed or printed name of person mailing paper or fee)

Dianne Neathery 1-25-02  
(Signature of person mailing paper or fee, and date of signature)